



#4

Foley & Lardner
Washington Harbour
Suite 500
3000 K Street N W
Washington, DC 20007-5T09

ACTION DUE

CLIENT/MATTER #

DUE DATE

DKTD BY

ATTY

FORMALITIES LETTER



OC000000005513425

Date Mailed: 10/30/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit ~~\$-690~~ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27). \$710.00
- Total additional claim fee(s) for this application is ~~\$402.~~ *\$404.00*
 - ~~\$324~~ for 18 total claims over 20.
 - ~~\$78~~ for 1 independent claims over 3 .
\$80.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is ~~\$-1222.~~ *\$1244.00*

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

file:///C:/APPS/PreExam/correspondence/2 B.xml

| DATE | DESCRIPTION | AMOUNT | BALANCE |
|------------|-------------|----------|----------|
| 10/10/2001 | KZENDIE | 00000103 | 09642655 |
| 10/10/2001 | | | 710.00 |
| 10/10/2001 | | | 130.00 |
| 10/10/2001 | | | 80.00 |
| 10/10/2001 | | | 324.00 |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Edward B. STOKES et al.
Title: Solid State Illumination System Containing A Light Emitting Diode, A Light Scattering Material And A Luminescent Material
Appl. No.: 09/642,655
Filing Date: August 22, 2000
Examiner: Unassigned
Art Unit: 2879



TRANSMITTAL OF MISSING PARTS
OF PATENT APPLICATION

Commissioner for Patents
Washington, D.C. 20231

Attn: BOX MISSING PARTS

Sir:

In response to the Notice to File Missing Parts of Application mailed on October 30, 2000, in the above-identified application, transmitted herewith are the missing parts needed to complete the filing of the subject patent application.

Enclosed are:

- [X] Declaration and Power of Attorney (4 pages)
- [X] Petition for One Month Extension of Time (1 page)
- [X] Request for Corrected Filing Receipt w/ copy of original Official Filing Receipt
- [X] Copy of Notice to File Missing Parts (Part 2 of Form PTO-1533)
- [X] Check in the amount of \$1,244.00 in payment of the \$710.00 official Government filing fee, including \$130.00 surcharge; \$324.00 for eighteen (18) additional Dependent claims; \$80.00 for one (1) additional Independent claim.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date January 9, 2001

By Michael D. Kaminski

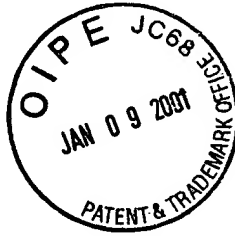
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Michael D. Kaminski
Attorney for Applicant
Registration No. 32,904

H4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of
Edward Brittain STOKES
Serial No.: 09/642,655
Filed: August 22, 2000



Attorney Docket No.: 040849/0143

Group Art Unit: 2879

Examiner: Not Yet Assigned

For: SOLID STATE ILLUMINATION SYSTEM CONTAINING A LIGHT EMITTING
DIODE, A LIGHT SCATTERING MATERIAL AND A LUMINESCENT MATERIAL

REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents
Washington, D.C. 20231

Sir:

Attached hereto is a copy of the original official Filing Receipt issued by the U.S.
Patent and Trademark Office in connection with the subject application.

Please change the spelling of the word "luminiscent" to "luminescent" in the TITLE:

Please note the mistake in the original Filing Receipt is the error of the U.S. Patent and
Trademark Office. Therefore, applicants are not obliged to submit a fee with this document.
Kindly forward the corrected Filing Receipt to the undersigned attorney of record.

Respectfully submitted,

January 9, 2001
Date

Michael D. Kaminski
Michael D. Kaminski
Reg. No. 32,904

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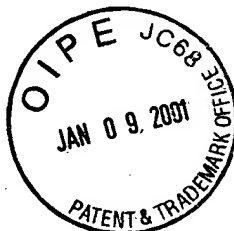


UNITED STATES PATENT AND TRADEMARK OFFICE

MOKA
 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/642,655 | 08/22/2000 | 2879 | 0 | 040849/0143 | 3 | 38 | 4 |

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 Washington, DC 20007-5109



FILING RECEIPT



OC000000005513423

Date Mailed: 10/30/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Edward Brittain Stokes, Niskayuna, NY ;
 Thomas Francis McNulty, Ballston Lake, NY ;
 Daniel Darcy Doxsee, Sagamore Hills, OH ;
 Alok Mani Srivastava, Niskayuna, NY ;
 Lionel Monty Levinson, Schenectady, NY ;
 Anil Raj Duggal, Niskayuna, NY ;

Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 09/203,206 11/30/1998

Foreign Applications

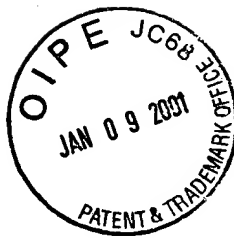
If Required, Foreign Filing License Granted 10/27/2000

Title

Solid state illumination system containing a light emitting diode, a light scattering material and a luminescent material

Preliminary Class

313



*

Title: Solid State Illumination System Containing A Light Emitting Diode, A Light

Scattering Material And A Luminescent Material

Inventor(s): Edward B. STOKES et al. Dkt. No. 040849/0143

Appl. No.: UNASSIGNED August 22, 2000

- Transmittal of Patent Application (2 pgs.);
- Patent Application Specification (26 pgs.);
- Informal Drawings (3 sheets);
- Unexecuted Declaration and Power of Attorney (4 pgs.);

Due: August 22, 2000 MDKA/dm/cgb

DFF

Assistant Commissioner for Patents:

Please acknowledge receipt of the above-identified documents by applying the U.S. Patent and Trademark Office receipt stamp hereto and mailing this card.

Respectfully,
Foley & Lardner

